



PTO/SB721 (09/04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

43

Application Number

10/796,955

Filing Date

March 10, 2004

First Named Inventor

Richard M. Manderscheid

Art Unit

2883

Examiner Name

Jerry M. Blevins

Attorney Docket Number

139178

ENCLOSURES (Check all that apply)

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/
Incomplete ApplicationReply to Missing Parts
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional Application

Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

Landscape Table on CD



Remarks



After Allowance Communication to TC

Appeal Communication to Board
of Appeals and InterferencesAppeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify
below):

Postcard

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Alcatel

Signature

Printed name

Bobby D. Slaton

Date

7/13/05

Reg. No.

43,130

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Melanie Murdock

Date

July 14, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Serial No.: 10/796,955
Examiner: Jerry M. Blevins

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Richard M. Manderscheid **Docket:** 139178
Serial No.: 10/796,955 **Art Unit:** 2883
Filed: March 10, 2004 **Examiner:** Jerry M. Blevins
Title: Monolithically Integrated Optical Triplexer and Method for Making Same

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97 & 1.98

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Certificate Under 37 C.F.R. §1.8(a)

I hereby certify that the above correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope directed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on July 14, 2005.

Melanie Murdock
Melanie Murdock

In the matter of the above-identified application, Applicant is submitting herewith a copy of a communication from a foreign patent office in a counterpart foreign application and copies of the documents listed in the attached form equivalent to Form PTO-1449 for the Examiner's consideration.

This Information Disclosure statement is being submitted:

- ☐ 1) within three months of the filing date
- ☐ 2) within three months of the date of entry of the national phase
- ☐ 3) before the mailing date of a first Office Action on the merits
- ☒ 4) before the mailing date of either a Final Action or a Notice of Allowance and is accompanied by
 - ☐ a) the fee of \$_____ set forth in 37 CFR 1.17(p).
 - ☒ b) the following certification specified in 37 CFR 1.97(e).

On information and belief, I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

- ☐ 1) Each of the documents listed on the attached form equivalent to Form PTO-1449 is in the English language.

Serial No.: 10/796,955
Examiner: Jerry M. Blevins

- ☒ 2) To the extent the documents listed on the attached form equivalent to Form PTO-1449 are not in the English language, the requirement of 37 CFR 1.98(a) (3) for a concise explanation of the relevance is satisfied by
- ☒ 1) an English language version or translation of the foreign patent office report citing the documents.
- ☐ 2) the following remarks.
- ☐ 3) the discussion of these documents in the specification.

It is respectfully requested that this Information Disclosure Statement be considered by the Examiner.

Please charge any shortage in the fees due in connection with the filing of this paper, includes extension of time fees, to the Deposit Account No. 50-0838 of Alcatel USA, and please credit any excess fees to such Deposit Account.

Respectfully submitted,

ALCATEL



Bobby D. Slaton
Reg. No. 43,130

Dated: 7/13/05

Alcatel
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Complete if Known

(Use as many sheets as necessary)

Sheet	1	of	1
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Application Number	10/796,955
Filing Date	March 10, 2004
First Named Inventor	Richard M. Manderscheid
Art Unit	2883
Examiner Name	Jerry M. Blevins
Attorney Docket Number	139178

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ²
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				
	D	GB 2378069 A	01/29/2003	Bookham Technology		
	E	WO 2005/013517 A2	02/10/2005	Dense-Light Semiconduct		
	F	JP 11 330532 A	11/30/1999	Seiko Epson		

Date Considered	
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